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VIA FACSIMILE

JAN 19 2006

PATENT APPLICATION
 Docket No. 16169.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Yasuhiro Saito, et al.

Serial No.: 10/532,538

Filed: August 17, 2005

Conf. No.: 9290

For: GLASS SUBSTRATE FOR INFORMATION
 RECORDING MEDIUM AND METHOD FOR
 MANUFACTURING SAME

Examiner: Unknown

Customer No.: 022913

Art Unit
 1775

REQUEST FOR REUND.

Refunds Branch
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

Dear Sir:

A submission that included the Combined Declaration and Power of Attorney was filed August 17, 2005. As part of that submission, a late declaration filing fee of \$130.00 was paid. A copy of the transmittal letter and PTO 2038 as filed is attached as Exhibit A.

Adjustment date: 03/16/2006
 03/06/2006 CFREY1 00000134 10532538
 01 PC:1617

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 AARON M. SMITH

VERNON R. RICE
 OF COUNSEL

* Admitted only in California
 † Admitted only in Virginia

On August 29, 2005, a Notice to File Missing Requirements was mailed, and in turn on September 30, 2005 a Response to Notice to File Missing Requirements was filed, which is attached as Exhibit B. That Response included a copy of the original submission made on August 17, 2005. In processing this Response to Notice of Missing Requirements, which did include a copy of the PTO-2038 credit card form from the original August 17, 2005 submission, the PTO charged the original payment of \$130.00 again.

Thus, Applicants hereby request, a refund in the amount of \$130.00 for the fee (late declaration filing fee) that was charged to the below card twice. The fee was paid by credit card, and the refund can be made to the same credit card, which is:

American Express

Expiration date June 2006

If there any questions regarding this request for a refund, they can be directed to the undersigned attorney.

Dated this 17 day of January, 2006.

Respectfully submitted,

Refund Ref:
03/16/2006

0030029922

Credit Card Refund Total: \$138.00

R. BURNS ISRAELSEN

Registration No. 42,685, Exp.: XXXXXXXXXXXX1004

Attorney for Applicant

Customer No. 022913

RBI:blh

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Adjustment date: 03/16/2006 RWHITE1
10/06/2005 GFREY1 00000134 10532538
01 FC:1617 -130.00 00

Exhibit A

FORM PTO-1380 (Modified) U.S. PATENT AND TRADE OFFICE: U.S. DEPARTMENT OF COMMERCE (REV. 2-2005)		ATTORNEY'S DOCKET NUMBER 16169.5
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/532,538
INTERNATIONAL APPLICATION NO. PCT/JP03/13461	INTERNATIONAL FILING DATE 10/22/2003	PRIORITY DATE CLAIMED 10/23/2003
TITLE OF INVENTION CLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD FOR MANUFACTURING SAME		
APPLICANT(S) FOR DO/EO/US Yasuhiro Saite, Toshiaki Hashimoto, Yuriko Kudoh		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). 11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/PEA/409). 12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210). <p>Items 13 to 23 below concern document(s) or information included:</p> <ol style="list-style-type: none"> 13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 15. <input type="checkbox"/> A FIRST preliminary amendment. 16. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 17. <input type="checkbox"/> A substitute specification. 18. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. 20. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 21. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4). 22. <input checked="" type="checkbox"/> Express Mail Label No. EV6801565021US 23. <input checked="" type="checkbox"/> Other items or information: Confirmed Receipt Postcard 		

PTO-1390 (Rev. 02-2005)
App. of use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEYS DOCKET NUMBER	
10/532,538		PCT/JP03/13461		16169.5	
The following fees are submitted:					
24. <input type="checkbox"/> Basic national fee		\$300		CALCULATIONS	PTO USE
25. <input type="checkbox"/> Examination fee			\$0.00		
If international preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4).		\$100	\$0.00		
All other situations.		\$200			
26. <input type="checkbox"/> Search fee					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority		\$100			
International Search Report prepared and provided to the Office		\$400			
All other situations.		\$500	\$0.00		
TOTAL OF 24, 25 and 26 =			\$0.00		
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.			\$0.00		
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	0	150 =	0	x \$250.00	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	\$130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x \$50.00	\$	\$0.00
Independent claims	- 3 =	0	x \$200.00	\$	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable)		<input type="checkbox"/>	+ \$360.00	\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$	\$130.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
SUBTOTAL =				\$	\$130.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.482(f)).				\$	\$0.00
TOTAL NATIONAL FEE =				\$	\$130.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
TOTAL FEES ENCLOSED =				\$	\$130.00
				Amount to be	\$
				Amount to be	\$
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-3178</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>					
<p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the international application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO: WORKMAN NYDEGGER Customer No. 022913</p>					
				<p><u>R. Burns</u> Aug 17, 2005 SIGNATURE R. BURNS ISRAELSEN NAME 42,685 REGISTRATION NUMBER</p>	

PTO-2038 (02-2003)

Approved for use through 02/28/2006, OMB 0651-0043

United States Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

United States Patent and Trademark Office**Credit Card Payment Form****Please Read Instructions before Completing this Form**

Credit Card Information			
Credit Card Type: <input type="checkbox"/> Visa <input type="checkbox"/> MasterCard <input checked="" type="checkbox"/> American Express <input type="checkbox"/> Discover			
Credit Card Account #:		3713-305789-91004	
Credit Card Expiration Date:		06/06	
Name as It Appears on Credit Card: R. Burns Israelsen			
Payment Amount: \$(US Dollars):		One Hundred Thirty Dollars (\$130.00)	
Cardholder Signature: <i>R. Burns</i>		Date: August 17, 2005	
<small>Refund Policy: The Office may refund a fee paid by mistake or in excess of that required. A change of purpose after the payment of a fee will not entitle a party to a refund of such fee. The Office will not refund amounts of \$25.00 dollars or less unless a refund is specifically requested, and will not notify the payor of such amounts (37CFR § 1.26). Refund of a fee paid by credit card will be issued as a credit to the credit card account to which the fee was charged. Service Charge: There is a \$50.00 service charge for processing each payment refused (including a check returned "unpaid") or charged back by a financial institution (37 CFR § 1.21 (m)).</small>			
Credit Card Billing Address			
Street Address 1: 1000 Eagle Gate Tower			
Street Address 2: 60 East South Temple			
City: Salt Lake City			
State/Province: Utah		Zip/Postal Code: 84111	
Country: USA			
Daytime phone #: (801) 533-9800		Fax #: (801) 328-1707	
Request and Payment Information			
Description of Request and Payment Information: Surcharge for late filing of Declaration			
<input checked="" type="checkbox"/> Patent Fee	<input type="checkbox"/> Patent Maintenance Fee	<input type="checkbox"/> Trademark Fee	<input type="checkbox"/> Other Fee
Application No. 10/532,538	Application No.	Application No.	IDON Customer No. 022913
Patent No.	Patent No.	Registration No.	
Attorney Docket No. 16169.5		Identify or Describe Mark	

If the cardholder includes a credit card number on any form or document other than the Credit Card Payment Form, the United States Patent & Trademark Office will not be liable in the event that the credit card number becomes public knowledge.

Exhibit B

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009/011

JAN 19 2006

Express Mailing Label No. EV 680256508 US

PATENT APPLICATION
Docket: 16169.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Yasuhiro Saito, et al.

Serial No.: 10/532,538

Confirmation No.: Unknown

Filed: April 22, 2005

For: GLASS SUBSTRATE FOR INFORMATION
RECORDING MEDIUM AND METHOD FOR
MANUFACTURING SAME)
)
)
) Art Unit
) Unknown
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)Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450RESPONSE TO NOTIFICATION OF
MISSING REQUIREMENTS UNDER 35 U.S.C. 371

Sir:

In response to the Notification of Missing Requirements mailed August 29, 2005, the Applicants point out that all missing requirements were filed with the United States Patent and Trademark Office in a submission on August 17, 2005. Included in that submission, and attached hereto for reference, were the below items:

- Declaration and Power of Attorney executed by the inventors
- A Certificate of Express Mail under 37 C.F.R. § 1.10.
- PTO-2038 Credit Card Form in the amount of \$130.00
- Transmittal Letter to the United States Designated/Elected Office
- Postcard

Along with this Response is the date stamped Express Mail Receipt and postcard we received back from the USPTO.

Please address all future correspondence in connection with this case to the attention of the undersigned.

DATED this 29 day of September, 2005.

Respectfully submitted,



R. BURNS ISRAELSEN
Attorney for Applicant
Registration No. 42,685
Customer No. 022913

RBI:blh
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JAN 19 2006

Express Mailing Label No. EV 680256508 US

PATENT APPLICATION

Docket: 16169.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Yasuhiro Saito, et al.

Serial No.: 10/532,538

Confirmation No.: Unknown

Filed: April 22, 2005

**For: GLASS SUBSTRATE FOR INFORMATION
RECORDING MEDIUM AND METHOD FOR
MANUFACTURING SAME**

Art Unit
Unknown

CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. § 1.10

I hereby certify that the following document are being deposited with the United States Postal Service as Express mail, postage prepaid, in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 20th day of September, 2005:

- Notification of Missing Requirements Under 35 U.S.C. 371
- Response to Notification of Missing Requirements Under 35 U.S.C. 371 with attachments
- Copy of date stamped postcard and Express Mail Label
- Postcard

Respectfully submitted,

Respectfully submitted,
Ben Huh

Beth L. Haslam
Assistant to R. Burns Israelsen

WORKMAN NYDEGGER
Customer No. 022913

RBI:blh
W:\16169\5\BLM0000004800V001.doc

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01/19/2006 15:11 FAX 8013281707

WORKMAN NYDEGGER

001/011

DATE: 01/19/2006

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JAN 19 2006

FAX TRANSMISSION COVER SHEET

Date: January 19, 2006
To: Refund
United States Patent & Trademark Office
Fax: (571) 273-8300
Phone:
From: Kevin W. Stinger
Re: Serial No. 10/532,538
Filing Date: August 17, 2005
Docket No: 16169.5

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IF YOU DO NOT RECEIVE ALL THE PAGES, PLEASE CALL 801-533-9800

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